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ABSTRACT

This training package, one in a series of instructional modules consisting of an instructor's guide and a student activity packet, deals with records management. Included in the instructor's guide are general directions for implementing the presentation; a detailed guide for teaching the lesson that includes performance objectives, suggestions for discussion, optional student activities, suggested evaluation criteria, keys to the activities, and a narrative script for use with a separate slide/tape presentation (audiovisual material not included here); and a list of references. The student activity packet contains an introduction, performance objectives, directions for using the packet, a student checksheet, resource sheets containing pertinent terms and a records retention timetable, and four activity sheets. (MN)

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OFFICE OCCUPATIONS

ED241686

RECORDS MANAGEMENT

INSTRUCTOR'S GUIDE
STUDENT ACTIVITY PACKET

Prepared by

Sue A. Clark and Diane E. Johnson

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RECORDS MANAGEMENT

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INTRODUCTION

This module, made up of a slide/tape presentation and accompanying printed materials, was developed as a result of a proposal funded by the Texas Education Agency to the Occupational Curriculum Laboratory at East Texas State University. Based on the results of a needs assessment of selected postsecondary office occupations instructors from across the state of Texas, this and several other modules were developed to provide instructional materials in competency areas that require formal classroom training. Selected postsecondary office occupations instructors assisted in the development, field review, and evaluation of the final product. To further insure the usability of these products, they were evaluated by members of a business advisory committee and tested by postsecondary office occupations students.

All of the materials in these modules have been developed with student needs and interests in mind and are designed with the flexibility for use as supplementary or primary teaching aids in many of the office occupations classes. The overall reading level of the printed material in this particular package is 12.03 as calculated according to the FOG Index. In general, this reading level score is consistent with that which can be expected of postsecondary students. The added audio and visual stimuli help insure understanding by those students whose reading levels do not meet these expectations.

Included in each slide/tape package are a set of full-color slides, a script, a cassette tape, an instructor's guide, and a student activity packet. Each instructor's guide includes general instructions for use by an individual or in a group setting, the narrative for the slide/tape presentation, and specific instructions on how to use the materials in a particular package. The specific instructions section contains the performance objectives, suggestions for class discussion, special notes to the instructor, optional student activities, solutions for the activities completed by the students, and suggestions for evaluation of the work produced.

The student activity packet consists of a section on information the student must know in order to complete the activities, the performance objectives to be attained, any necessary resource materials, and the activities to be completed in order to master the competencies on which the module is based.

ACKNOWLEDGMENTS

We extend special thanks to the following committee members and their employers for their cooperation in reviewing, evaluating, and testing the materials developed through this project:

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INSTRUCTOR'S GUIDE

RECORDS MANAGEMENT

INSTRUCTOR'S GUIDE

GENERAL INSTRUCTIONS

Equipment Needed

Before using this presentation, make sure that arrangements have been made to have the following equipment available: a slide projector, a projection screen, and a cassette recorder/player.

Make sure that all equipment is working properly.

Preparations Before Class

1. Preview the slide/tape presentation and determine how it will be used in your class.
2. Plan short but relevant introductions to tell students what to look for in the slide/tape presentation.
3. Allow enough time to show the presentation in its entirety.
4. If you use handouts, be sure they are distributed after the presentation.

Procedures for Group Setting

1. Choose a point in the lesson where the slide/tape presentation will have the greatest impact.
2. After showing the slide/tape presentation, ask students to give highlights in their own words.
3. If necessary, show the presentation or parts of it again to emphasize points important to successful completion of the activities.
4. If necessary, make arrangements for students to use the slide/tape presentation on an individual basis.

Procedures for Individual Setting

1. Make sure space and equipment are available.
2. Check equipment to make sure it is working properly.
3. Demonstrate procedures for using the equipment.

4. Have students view the slide/tape presentation as many times as necessary to understand the information given.

Instructions for Using Slides and Cassette Tapes

1. Pick up each slide by its frame so that you do not touch the film.
2. Arrange the slides in the slide tray in sequential order with the slide number in the upper right corner facing you.
3. Insert the cassette tape into the recorder/player.
4. Rewind the cassette tape to be sure it will start at the beginning.
5. Turn on the slide projector. The first slide should be projected on the screen.
6. Start the cassette player.
7. Depress the advance button at the sound of the "beep" if you are using the audible advance.

(NOTE: Review the above procedures with those students who will be using the package individually.)

Student Checksheets

Student checksheets provide a convenient means for the student to take notes while viewing the slide/tape presentation. The points identified on the student checksheets are those the student will have to be familiar with in order to complete the activities provided.

Resource Sheets

Resource sheets contain information essential to the activities and serve as reinforcement for the competency requirements covered by the slide/tape presentation. Students should use the resource sheets as instructed in each student activity packet.

Activity Sheets

Activity sheets are working papers for students. Students are instructed to use them when completing certain activities.

RECORDS MANAGEMENT

INSTRUCTOR'S GUIDE

SPECIFIC INSTRUCTIONS

Introduction

Records Management is an audiovisual aid developed to acquaint students with the records cycle. This slide/tape package is designed to address specifically those responsibilities associated with the management of records--from their creation to their permanent storage or destruction.

This slide/tape package consists of 75 full-color slides, a cassette tape, an instructor's guide, a script, and a student activity packet that could be used as primary or supplementary tools in a variety of courses including records management, office procedures, and office management. Any of the printed materials, which are not copyrighted, can and should be reproduced in order to provide an adequate supply of the materials for completing the activities; there are no separately printed student materials.

Performance Objectives

If a student satisfactorily completes this package, the following competencies can be expected.

1. The student will be able to list and describe the five phases of the records cycle.
2. The student will be able to correctly identify and describe the two types of transfer methods.
3. The student will be able to describe the major types of filing equipment and give advantages and disadvantages of each.
4. The student will be able to classify records as having administrative, legal, fiscal, or historical value.
5. The student will be able to classify records as vital, important, useful, or nonessential.
6. The student will be able to correctly use a records retention timetable to code records.
7. The student will be able to select filing equipment appropriate for use in a specific office situation.

Special Notes to the Instructor

This instructional package may be used in its entirety in a group setting or as a component of an individualized instruction curriculum. The instructor who desires to adapt this particular package to the specific needs of the program or of the student may find the following suggestions helpful.

1. The intent of this audiovisual instructional package is informational rather than skill building.

2. The instructor who wishes to present this unit in smaller segments will find logical stopping points immediately following each of these slides: 11 (creation); 25 (survey); 38 (retention); 49 (transfer); 55 (disposition); 75 (filing equipment).

3. None of the activity directions requires the student to produce typewritten copy. The instructor may wish to add this requirement to Activity 4.

4. Although a brief glossary of terms is provided in the Student Activity Packet (see Resource Sheet 1), no reference is made to it nor is any activity reliant on it. The instructor may wish to develop a quiz or vocabulary drill based on the terms contained in this glossary.

5. The subject of micrographics is only briefly discussed in this package. It is recommended that the instructor address this topic and develop at least one discussion activity to coordinate with it. This topic will be most logically presented immediately following the completion of this package.

6. If any of the provided activities cannot be used in your setting or if the students require additional activities to achieve the performance objectives, refer to the section entitled Optional Student Activities. Neither resource sheets nor activity sheets are provided for these activities.

7. No key is provided for Activity 4. Student responses will vary according to the equipment each chooses to investigate and report on.

Time and Facilities

Approximately one 45- or 50-minute class period should be set aside for a brief introduction to and presentation of the slide/tape, which can be shown in any room that can be darkened or that has individual carrels equipped with slide carousels and cassette players.

Field test results submitted by postsecondary students suggest that the activities will require three to four hours for completion, including the time necessary to investigate three types of filing equipment and prepare reports on them. These time estimates are provided as guidelines only. The actual time spent in completing this package will vary with the amounts and types of discussion activities that take place and with the abilities of the students. If the instructor adds other activities or revises the provided activities, the suggested time frames will have to be revised.

Suggestions for Discussion (for use in a group setting)

1. Before the slide/tape is presented, discuss with the students the

performance objectives that must be met. Also discuss the value of filing, citing examples applicable to the classroom or to the daily lives of the students.

2. If possible, invite a records manager and/or a records clerk to discuss various aspects of records management with the class. Ask the speakers to specifically address these topics:
   a. Any forms (including examples of the forms) used to facilitate records management in their workplaces.
   b. Any unique applications of the records management cycle in their companies.
   c. Records management career opportunities.
   d. The use of computers and micrographics in their offices.

3. Discuss with the students various methods used to dispose of records. To provide material for the discussion, request brochures and pamphlets from manufacturers of disposal equipment and supplies. During the discussion, address (at least) these disposal methods, their advantages and disadvantages:
   a. Burning
   b. Shredding
   c. Chemically treating
   d. Burying

4. Present to the class the methods used to locate misplaced files. Ask the class to provide suggestions for steps that could be taken to help insure that records would not be misplaced.

5. Discuss with the students the current trend in business toward cost effectiveness in all facets of operations, including records management. Cite examples of ways in which a particular department (use as an example a department OTHER THAN records) might decrease costs. Then, divide the class into five small groups, each group representing one of the five stages of the records management cycle. Instruct the group to elect a group leader and to discuss among themselves various cost-saving measures that could be implemented at their phase of the cycle. Then, ask each group leader to present to the class as a whole the various cost-saving measures the group has determined.

Optional Student Activities

Four activities are provided in the Student Activity Packet. These activities are designed to reinforce the information provided on the slide/tape presentation and to give students an opportunity to refine their skills in working with records and the records management cycle.

The following suggestions for additional activities may be used with students who need further skill refinement in these competencies or in courses where the provided activities are inappropriate.

1. Divide the students into small groups. Then, assign each group to investigate the types of permanent records storage facilities used by selected local businesses. Have each group present a summary of its findings. Then, if possible, arrange with one or more of the companies that participated in the investigation to tour their records storage facilities.

2. Arrange to have the class or individual students visit a local office supplies firm to examine and learn about the various types of filing supplies and equipment. Then, using the information gathered, have individual students or small groups prepare a summary of the information applicable to a particular item (either a piece of equipment or a type of supply). Finally, compile all of the information sheets and any applicable brochures and/or pamphlets into a resource guide.

3. If possible, arrange to have students work in various offices on campus as file clerks (students who are employed could do this at their place of employment) for a one- or two-day period. Schedules should be arranged so that students "apprentice" in these positions in lieu of attending class on assigned days.

4. With the input of the students, develop a questionnaire which can be sent to local businesses to determine the various records management practices used in the local area. Include such questions as:

	Yes	No
a. Does your firm employ a records manager?	___	___
b. Are active records housed in centralized files?	___	___
c. Does each department maintain its own records?	___	___
d. Do you store permanent records on site?	___	___
e. Do you store permanent records at another site?	___	___
(1) Owned?	___	___
(2) Leased?	___	___

When the questionnaires have been returned, have the students prepare a profile of records management practices in the local area.

5. Have the student(s) summarize at least three current articles (not more than a year old) on advances or innovations in records management.

Suggested Evaluation Criteria

The following is a checklist that can be used when evaluating the student's successful completion of this packet. This checklist is not intended as a method of grading but merely as a means of determining whether or not the student has mastered the competencies presented in this package.

1. Activity 1
   a. The student responded to each of the 15 items listed. _____
   b. The student's answers were accurate. _____
   c. The student's answers were recorded neatly. _____

2. Activity 2
   a. The student responded to each of the 15 items listed. _____
   b. The student's answers were accurate. _____
   c. The student's answers were recorded neatly. _____

3. Activity 3
   a. The student responded to each of the 25 items listed. _____
   b. The student's answers were accurate. _____
   c. The student's answers were recorded neatly. _____

4. Activity 4
   a. The student responded to all items on the planning guide, furnishing full descriptions. _____
   b. The student attached a photograph or picture of the equipment investigated. _____
   c. The student selected equipment available in colors complementary to the existing colors in the office. _____
   d. At least one of the files selected could be specially reinforced and fire resistant. _____
   e. The student selected files that could also function as room dividers (vertical files). _____
   f. The student selected some equipment designed for space conservation and ease of accessibility (open-shelf files). _____
   g. The student selected one file that could be used by several people simultaneously. _____

5. Completion time for activities
   a. Completion time less than suggested time limits. _____
   b. Completion time within suggested time limits. _____
   c. Completion time exceeded suggested time limits. _____

Keys to Activities

Keys have been provided to activities 1, 2, and 3; these keys can be found on the following page.

No key has been provided for the final activity (Activity 4); student responses will vary according to the pieces of equipment each student chooses to investigate.

Activity 1

1. I
2. U
3. N
4. I
5. U
6. V
7. U
8. V
9. V
10. V
11. V
12. U
13. V
14. I
15. I

Activity 2

1. L
2. L
3. H
4. F
5. F
6. A
7. A
8. A, F
9. L, F
10. L
11. L
12. F
13. H
14. F
15. A

Activity 3

1. 5
2. 1
3. 6 AF
4. P
5. 6 mos.
6. AT
7. P
8. P
9. 4
10. 10
11. 5
12. P
13. 1
14. 3
15. P
16. SUP
17. 5
18. P
19. P
20. P
21. 1
22. 7
23. 3
24. 3, AM
25. 3

RESOURCES AND REFERENCES

Books

Glencoe Publishing Company
17337 Ventura Boulevard
Encino, CA 91316

Information/Records Management (1981), Maedke, Robek, Brown

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13955 Manchester Road
Manchester, MO 63011

The Administrative Secretary (1976), Anderson, Griffitts, McIntosh, McKenna, McMurty, Oelrich, Crane, Lee, Russon

Filing Systems and Records Management (1981), Stewart, Sharle Hickey, Kahn

Prentice-Hall Media
ServCode BB
150 White Plains Road
Tarrytown, NY 10591

Records Management (1982), Hyslop, Place

South-Western Publishing Company
5105 Madison Road
Cincinnati, OH 54227

Business Records Control (1981), Bassett, Goodman, Fosegan

Records Management: A Collegiate Course in Filing Systems and Procedures (1974), Johnson, Kallaus

Secretarial Procedures and Administration (1978), Hanna, Popham, Tilton

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605 Third Avenue
New York, NY 10158

Administrative Procedures for the Electronic Office (1982), Tunison, Bahniuk

Records Management Applications (1983), Wallace

Records Management Systems and Administration (1983), Thomas, Schubert, Lee

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51 Madison Avenue
New York, NY 10010

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"Micrographics in the Office: Its Role Expands" (April, 1982)

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South-Western Publishing Company
5101 Madison Road
Cincinnati, OH 45227

"Managing Records in the 1980's" (December, 1980), Bruex

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Penton, IPC, Inc.
1111 Chester Avenue
Cleveland, OH 43221

"CAR Succeeds 150-Year-Old System" (March, 1982)

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"Where Paper Records are the Best Bet" (March, 1982)

The Office
Office Publications, Inc.
1200 Summer Street
Stamford, CT 06904

"An Employment Privacy Protection Program" (April, 1981), Croll, Evans

"File Management is Key to Cost-Effective Automation" (April, 1982), McArthur

"How Records Management Works for a State University" (September, 1981), Harding

"Our Converting to Micrographics Proved a Real Success Story" (October, 1980), Burnett

"Performance Measured by Quality and Quantity" (April, 1980), Dicaro

"Records Management Seeks the Right Place and Time" (January, 1980), Hegal

SLIDE NO.	SLIDE DESCRIPTION	NARRATIVE
1	Focus/Synchronize Slide	
2	Title Slide	Records Management
3	Stop Slide	Before beginning this slide/tape presentation, stop the recorder and locate the Student Checksheet in your Student Activity Packet. This checksheet provides a convenient means of taking notes on those portions of the presentation that you will need to know in order to confidently complete the activities that accompany this slide/tape package.
4	Pie chart showing 10 percent for record handling and 90 percent gross revenues	Next to its employees, records are a company's most valuable asset and one of its major expenses. This is evidenced by the fact that over 10 percent of a company's gross revenue dollars are spent on information handling.
5	Stacks of change showing breakdown of dollar amount spent on record keeping	Out of every dollar spent for managing records, 20 cents goes for supervision; 55 cents is spent for labor; 10 cents, for equipment; 10 cents, for space requirements; and 5 cents, for supplies.
6	RECORDS CYCLE Five phases listed with creation (in arrow) highlighted	Although these costs will never be eliminated, records management can be made more cost effective through efficient management at every step of the records cycle. This cycle is the path that all records follow. It consists of five phases: creation, survey, retention, transfer, and disposition.
7	CREATION Examples of different records in the background	Records are created when information flows from one person or business to another. This information might be in the form of a letter, a memo, a contract, a bid, computer output microfilm, or any one of several other types of documents.
8	Letter with dollar amounts listed	Each record, regardless of its length or simplicity, includes creation costs. I 1982, the average cost of creating and producing a letter was between $6 and $10.
9	File with $25 on it.	Even more surprising is that for every dollar spent on production, $25 was spent maintaining that single record over its lifetime.
10	Written Record Control < Yes / No	To reduce this cost burden, controls must be established by every firm. These controls should enable employees to readily determine if and when written or computer generated records need to be established.
11	Costly ~~Records~~	These same controls will help to ensure that the creation of unnecessary, costly records is avoided.

SLIDE NO.	SLIDE DESCRIPTION	NARRATIVE
12	SURVEY Creation and survey in arrows (survey highlighted)	The second stage of the records management cycle is referred to as survey. During this stage, decisions about microfilming are often made, and business records are classified according to their value to the company. All records will fit into one of four categories: vital, important, useful, or nonessential.
13	Vital Records: Those that are essential to the survival and effective operation of the business	Vital records are those that are essential to the survival and effective operation of the business. Although these records should never be destroyed, their creation and storage does not negatively affect the records management budget--these records comprise only about 2 percent of all records of a business.
14	Pictures of vital records	Incorporation documents, contracts, property deeds, accounts receivables, accounts payables, inventory records, and legal documents are all examples of vital records.
15	Pictures of safes and vaults	Because the survival of a business that loses its vital records is in doubt, these documents should be preserved and protected in safes and vaults and on microfilm.
16	Important Records: Records that are necessary for the efficient operation of a business	Like vital records, important records are necessary for the efficient operation of a business. Unlike most vital records, important records can usually be replaced, although the replacement expenses would be almost prohibitive for most companies.
17	Pictures of important records	Important records include items such as tax records, sales records, and financial records.
18	Picture of file cabinet next to office	If important records are used frequently, they should be stored in or near the office that uses them. Their safety can be protected in fire-resistant file cabinets or in office safes and vaults.
19	Picture of central storage area	If these records are used on a limited basis, they can be stored with other vital and important records in another location. This type of centralized storage should also be equipped with fire-resistant safes and vaults to prevent the destruction of these records.
20	Useful Records: Records that can be replaced at a reasonable cost	Useful records are those that can be replaced at a reasonable cost, but whose loss would create some delays for the company.
21	Pictures of useful records	These records, which contribute to the smooth conduct of business and document the day-to-day operation of a business, include letters, reports, and bank statements. Because microfilming is usually not considered cost-effective unless the records must be kept seven years, useful records would not normally be microfilmed.

SLIDE NO.	SLIDE DESCRIPTION	NARRATIVE
22	Picture showing active file area	Useful records are used frequently--they are active records--and as such need to be stored in the office that requires the greatest access to them. To protect these records, store them in fire-resistant file cabinets.
23	Box with "nonessential" on it sitting next to paper shredder	Nonessential records are those that have served the purpose for which they were created, but for which there is no further use.
24	Picture of nonessential records	Routine correspondence that does not influence the conduct of a business, interoffice memorandums that have served their purpose, and seasonal publications can all be classed as nonessential records, which do not qualify for microfilming.
25	"Usually nonessential records can be destroyed"	Almost without exception, nonessential records can and should be destroyed after they have fulfilled their purpose.
26	RETENTION Creation, survey, and retention in arrows (retention highlighted)	Once the value of a record has been determined and the second phase of the records management cycle has been completed, the record must be placed on a retention schedule. Retention is the third phase of the records cycle.
27	Closeup of retention schedule	A retention schedule is used to determine the length of time various records should be kept and the location at which each type of record will be maintained.
28	Should or Must Scale showing administrative, legal, fiscal, etc., on one side and question mark on the other	Records management involves differentiating between those records that must be kept and those that should be kept. This determination is most easily made when the person responsible is aware of the administrative, legal, fiscal, or historical value of a document.
29	Administrative: Records that are created to help an organization accomplish its business	Records that possess administrative value are those that are created to help an organization accomplish its business. These records are valuable only as long as they assist in performing current or future work.
30	Pictures of administrative records	For example, an organizational chart is valuable only as long as the organization or the company does not change. A job description is valuable only until the position is eliminated or reorganized.
31	Legal: Records that show evidence of enforceable rights or obligations	Records with legal value contain evidence of enforceable rights or obligations of the company.
32	Pictures of legal records	Legal opinions, legal decisions, leases, deeds, contracts, and abstracts can all be said to have legal value.

22

23

SLIDE NO.	SLIDE DESCRIPTION	NARRATIVE
33	Fiscal: Records that involve financial transactions	The term fiscal value refers to financial transactions such as budgets, revenues, expenditures, long-range plans, and so forth.
34	Picture of documents showing both fical and administrative value	In some instances, a record may have both fiscal and administrative value. If so, the fiscal value of that record outweighs its administrative value. For instance, a record may have fulfilled the purpose for which it was created, but it might still be required for use during an audit; therefore, it cannot be destroyed.
35	Picture showing document being passed along to each department	Because this type of dual value is not uncommon, any record that possesses fiscal value should be reviewed by the controller, the treasurer, the chief of accounting, and the tax manager before it is destroyed or transferred to a distant storage facility.
36	Historical: Records that warrant permanent retention	Historical value is demonstrated by records which possess legal, historical, administrative, or informational value sufficient to warrant permanent retention.
37	Examples of historical documents	Charter minutes, photographs chronicling the life of the company, and original patents might all be said to have historical value.
38	Picture of a committee meeting in progress	Determination of the value of a record can be a complex process--every person has an opinion about the value of a particular document. For this reason, decisions concerning which records are kept and the lengths of time each is maintained are usually charged to a committee with expertise in making these types of determinations.
39	Show first four stages of the management cycle with transfer in arrow highlighted	The fourth stage of the records management cycle, the transfer stage, consists of reviewing, reclassifying, and changing the storage sites of a firm's records.
40	Methods of Transfer: 1. Perpetual 2. Periodical	Two methods can be used to complete this stage of the cycle--the perpetual or continuous method of transfer and the periodic or intermittant method of transfer.
41	Picture of a box of records labeled "Closed Out"	The perpetual transfer method serves to move records from the active files in the office or records center to storage files whenever a job is finished or a case is closed. Because this method relies on "closing out" a job before records are transferred, it is most often used in such businesses as architectural firms, law offices, construction firms, and so forth.
42	Picture of a file cabinet labeled "Current" and boxes showing out-of-date records	Furthermore, since records are moved as soon as a job is complete, the office files contain only records that are used frequently. Out-of-date records do not accumulate and retrieval of current records is made easier..

SLIDE NO.	SLIDE DESCRIPTION	NARRATIVE
43	Picture of a calendar with transfer dates circled	The periodic transfer method involves transfer of all or at least a percentage of all records at particular times during the year.
44	Picture of calendar with June 30 and December 30 highlighted	For example, transfer dates might be set for June 30 and December 30. On either of these dates, all records whose dates indicate they are at least six months old might be transferred from the active office files in the office to semi-active files in a centralized location in the building.
45	Pictures of active and inactive files	This would mean that the active office files would contain only those records that were no more than six months old. At the same time, slightly older records would be stored in the building so that they were accessible if needed.
46	Illustration of a room with arrows pointing to active and semi-active areas	At the same time active records are being transferred to semi-active storage, those records that are already in semi-active storage and are at least one year old might be transferred to inactive storage at another location.
47	Periodic Transfer: Wholesalers, manufacturers, banks	The periodic transfer method is popular with businesses and industries that have on-going business with the same customers. Wholesalers, manufacturers, banks, and similar businesses usually use periodic transfer.
48	Illustration of room with wall-to-wall files	Transfer of records is important to records management. If records were simply accumulated and allowed to remain in the active office files, offices would soon contain wall-to-wall file cabinets, with little or no room for employees.
49	Active file $5.00 Storage $1.00	In addition, the importance of transferring records in terms of cost effectiveness quickly becomes obvious. It costs five times as much to keep a record in active files as it does to keep the same record in the storage center. And records stored on microfilm, because they require so little space, are even less costly to store.
50	DISPOSITION highlighted in records cycle	The fifth and final stage of the records cycle is disposition. During this stage the records are either placed in permanent storage or they are destroyed.
51	Picture of a large stack of records labled "creation" and a small stack labled "disposition"	If the other four stages of the records management cycle have been carefully considered, this stage will be easy to complete. You will obviously be working with only those records that have survived the other stages. Those records that are determined to be important enough to be kept permanently will be moved to permanent storage.
52	Illustration of business with off-site storage areas	Because records that are stored permanently are vitally important to the business and yet are seldom used, storage facilities are usually found in distant locations.

SLIDE NO.	SLIDE DESCRIPTION	NARRATIVE
53	Illustrations of secure facilities	Although permanent storage facilities are usually less expensive to maintain because they are located out of the mainstream of the business district, businesses that own these facilities usually spend large amounts of money to make them highly secure for the storage of their permanent records.
54	Illustration of facility built into the side of a mountain	Many businesses are turning to underground vaults for permanent storage of records. Underground high-security vaults which are usually constructed into the sides of mountains or miles from centers of population, protect against nuclear attacks, earthquakes, floods, and other major disasters.
55	Illustration of housing in high-security vaults	These facilities are considered so safe that some companies have equipped them with their own emergency power, air supply, and housing for top-level executives and their families. In case of emergency the most valuable assets of the firm will be saved from destruction and the company will be able to rebuild.
56	Photograph of various types of file cabinets	Although supervising the five-stage records cycle might appear to be a full-time job, records management includes much more. All of the records that have been discussed here must be housed in some type of cabinet or container.
57	Photograph of vertical files, open-shelf files and rotary files	Filing equipment can be purchased in almost any size and shape to meet the needs of the user. The most popular filing equipment includes vertical files, open-shelf files, and rotary files.
58	Picture of vertical file	The vertical or standard file is used more frequently than is any other single type of storage equipment. Vertical files provide varying degrees of records protection, and they can be insulated and reinforced for safe storage of important records.
59	Picture of an office with vertical files near the desk	Vertical files are available in various heights for use in different situations. One- or two-drawer vertical files can be placed in an easily accessible location near the desk.
60	Picture of files used as countertop supports	Three-or four-drawer cabinets may be used as countertop supports.
61	Photograph of a file used as a workspace divider	Five-drawer vertical files can serve as workspace dividers.
62	Picture of office with vertical files, insert with "80% of all offices"	It is estimated that over 80 percent of all offices use vertical files. Adaptability is the major benefit; the use of too much floor space is the major disadvantage.

SLIDE NO.	SLIDE DESCRIPTION	NARRATIVE
63	Picture of open shelf file	Open-shelf filing is gaining in popularity, and its use may soon surpass that of vertical files. These files are exactly what their name implies--open shelves that usually extend from the floor to the ceiling.
64	Picture of open shelf files with advantages and disadvantages listed	Simplicity of design and efficient use of floor space contribute to the low cost of maintaining open-shelf files. At the same time, however, files are more easily misplaced and are not neatly hidden away as they are in other types of files.
65	Additional disadvantages listed	In addition, it is necessary to remove the entire folder to gain access to one document within a folder; and--because of the openness--confidentiality and security are diminished.
66	Photograph of rotary files	Rotary files are files that are stored on some type of wheel or circular device.
67	Photograph of rotary desk file	The rotary file has often been found on desks and has been used to hold names, addresses, and telephone numbers of business associates.
68	Illustration of both types of filing	The rotary file, however, has grown up and its use has been expanded. Rotary files include large but streamlined units that hold at least as much information as will a standard four-drawer vertical file cabinet.
69	Illustration of panel with button	Although these units are more expensive than are standard file cabinets, they can be motorized and customized to fit any office situation. If a specific file is requested, the file clerk simply pushes a button and the wheel on which they are stored rotates, moving the records into an easily accessible position.
70	Illustration of record being removed from file	When the needed records have been rotated into position, they can be removed from the file.
71	Illustration of two people using rotary files on opposite sides of the file	Rotary files are especially useful when multipurpose work stations are necessary. And, unlike other types of storage equipment, rotary files are usually accessible from two sides. Two employees needing access to the same files may have private work stations separated by a rotary file;
72	Illustration of two people using file	both could gain access to needed records without leaving their work areas.
73	"Records management is vital to the survival of any business, large or small"	It is obvious from this discussion that records management involves more than just storage and retrieval of records. Records management has become a respected function of every business. It is vital to the survival of any business, large or small.

SLIDE NO.	SLIDE DESCRIPTION	NARRATIVE
74	Photograph of a records manager in a well-organized office	As a result, the job of the records manager as well as that of every employee within this department requires exacting skills and an interest in detail.
75	Credits Slide	

STUDENT ACTIVITY PACKET

RECORDS MANAGEMENT

STUDENT ACTIVITY PACKET

Introduction

The importance of the records manager has increased over the years as the emphasis on the role of information handling has expanded. The expense of record keeping dictates that well trained personnel and up-to-date equipment be used in the most efficient manner. Understanding the types of records created and the life cycle of each is of vital importance to any office employee, not only the records manager. An awareness of available equipment and the type best used for a variety of situations are other important functions of the office employee.

Performance Objectives

After satisfactorily completing this instructional package, you will be able to:

1. List and describe the five phases of the records cycle.
2. Correctly identify and describe the two types of transfer methods.
3. Describe the major types of filing equipment and give advantages and disadvantages of each.
4. Classify records as having administrative, legal, fiscal, or historical value.
5. Classify records as vital, important, useful, or nonessential.
6. Correctly use a records retention timetable to code records.
7. Select filing equipment appropriate for use in a specific office situation.

Materials

*Student checksheet for use with slide/tape presentation
*Resource Sheet 1 - "Glossary of Terms"
*Resource Sheet 2 - "Instructions for Activities"
*Resource Sheet 3 - "Records Retention Timetable"
*Activity sheets for activities 1-4
Pen or pencil

*These materials are provided as part of this activity packet.

Directions

This package contains four activities. Each activity is detailed on the resource sheet which contains instructions and/or needed information. To complete each of these activities, follow these steps:

1. Carefully read the instructions provided on the resource sheet.
2. Assemble any materials you will need to complete the activity.
3. Complete the work called for.
4. Double-check the work you have completed to be sure it is as comprehensive and as correct as possible.

When all of the activities have been completed, submit them to your instructor for evaluation.

STUDENT CHECKSHEET

(To Be Used With Slide/Tape Presentation)

This sheet is provided as a convenient means of taking notes during the slide/tape presentation. The answers to the questions presented here will be useful when completing the activities that accompany this presentation.

1. There are five phases of the records cycle. List them in order.

   a. _____
   b. _____
   c. _____
   d. _____
   e. _____

2. What are the four classifications of records made during the survey stage? Give three examples of each type of record.

   a. _____ Examples: _____
   _____
   _____

   b. _____ Examples: _____
   _____
   _____

   c. _____ Examples: _____
   _____
   _____

   d. _____ Examples: _____
   _____
   _____

3. How are records identified for value during the retention stage? Give three examples of each type of record.

   a. _____ Examples: _____
   _____
   _____

   b. _____ Examples: _____
   _____
   _____

c. _____ Examples: _____

_____

_____

d. _____ Examples: _____

_____

_____

4. What are the two methods most frequently used to transfer records? Briefly describe each.

a. _____

b. _____

5. What two choices are available for records during the final (disposition) stage?

a. _____

b. _____

6. Name the three most popular types of filing equipment. List one advantage and one disadvantage of each.

a. _____ Adv. _____

Disadv. _____

b. _____ Adv. _____

Disadv. _____

c. _____ Adv. _____

Disadv. _____

RESOURCE SHEET 1

Glossary of Terms

Active records	Records used more frequently than once a month.
Aperture card	Data processing card specifically designed so that a microfilm may be mounted on it.
Association of Records Managers and Administrators (ARMA)	A national records management professional group.
Batching	Grouping records by a common factor such as a period of time or an alphabetic or numeric segment.
Centralized files	The files of several departments or organizational units physically grouped in one location.
Computer Output Microfilm (COM)	Microfilm produced by computers from magnetic tapes.
Cross reference	A notation in a file or on a list showing that a record has been stored elsewhere.
Decentralized files	Records located close to the area of their creation and use rather than under one control in a centralized area.
Disposition schedule	A plan for the preservation or orderly destruction of records.
Encyclopedic arrangement	Alphabetic organization of a subject file with main headings, divisions, and subdivisions.
Facsimile	The exact reproduction of a product (i.e., a photocopy).
Files	Containers for storing records (cabinets, open shelves, boxes, or any other type of housing).
Filing	The process of classifying, arranging, and storing records so that they may be found when needed.
Filing systems	Planned methods of indexing and arranging records.
Form	Any printed material with blank spaces for inserting data (information or responses).
Guide	A heavy weight and captioned divider used to identify file sections and provide physical support for records.

Hard copy	Paper copy of records (not on microfilm or magnetic tape).
Inactive records	Records that are seldom used.
Information retrieval	The process of locating and withdrawing data.
Kraft	Heavyweight paper used for file folders and guides.
Lateral file	File cabinets that allow records to be removed from the side rather than from the top of a drawer.
Microfiche	Transparent card of micro images.
Microfilming	The process of photographing information in miniature form.
Misfile	To store a record in the wrong location.
Numeric	The filing of correspondence or cards according to assigned numbers.
Out-folder	A folder used to store correspondence while the regular folder is out of the files.
Periodic transfer	The removal of records at predetermined intervals from the current active files to inactive or transfer files (i.e., once every six months).
Perpetual transfer	The transfer of records from the current to the inactive files on the basis of use rather than predetermined filing periods (i.e., when a job is finished or a case is closed).
Reader	A machine that magnifies a microimage enabling it to be read easily.
Records	All information kept by an organization (correspondence, cards, tapes, or microfilm).
Records management	Planning, organizing, and controlling the creation, use, protection, storage, and disposal of records.
Reference analysis	A review of all the requests made for records over a specific period of time.
Retention schedule	A timetable specifying the length of time various types of records should be kept.
Subject filing	Alphabetic arrangement by the names of topics or things.
Transfer	Removal of records from the active files to store them with the inactive files.

RESOURCE SHEET 2

Instructions for Activities

Activity 1

Instructions

1. Locate your Student Checksheet.
2. Locate Activity Sheet 1.
3. Using the information recorded on the Student Checksheet as a guide, classify each record listed on the activity sheet as one of the following:
   a. V (vital)
   b. I (important)
   c. U (useful)
   d. N (nonessential)
4. Using a single letter (V, I, U, N) to indicate your response, record the answer on the appropriate line on the activity sheet.

Activity 2

Instructions

1. Locate your Student Checksheet.
2. Locate Activity Sheet 2.
3. Using the information recorded on the Student Checksheet as a guide, classify each record listed on the activity sheet as having ONE OR MORE of the following values:
   a. A (administrative)
   b. L (legal)
   c. F (fiscal)
   d. H (historical)
4. To indicate your response, record the letter(s) of the appropriate value(s) on the correct lines on the activity sheet.

Activity 3

Instructions

1. Locate Resource Sheet 3 - "Records Retention Timetable."
2. Locate Activity Sheet 3.
3. Using the timetable, determine the length of time that each record described on the activity sheet should be retained.

4. For each record listed, record the length of the retention period (in years).

Activity 4

Situation

Assume that you work as a records manager for the White Construction Company. The company is in the process of completely redecorating the main office. This includes replacing old filing equipment with more modern, efficient equipment. At the present time, there are several thousand files stored in four-drawer vertical file cabinets. The office manager has requested that you investigate three types of filing equipment that might better meet the company's needs. For each type of equipment investigated, compile a report that will enable management to easily assess the usability of the equipment. The final purchasing decisions will be made on the basis of your report.

Instructions

1. Locate Activity Sheet 4 - "Filing Equipment Comparison Report."
2. Using the activity sheets provided, prepare a descriptive report of each piece of equipment investigated:
   a. Indicate the type of equipment investigated.
   b. List the colors in which the equipment is available.
   c. Indicate the price of the equipment.
   d. List advantages of that type of equipment.
   e. List possible disadvantages of that type of equipment.
   f. Attach to the report a picture from a catalog or a rough sketch of the equipment.
3. The following factors must be taken into consideration:
   a. The office walls are white, the carpeting is beige, and most of the existing furniture is brown. The equipment chosen should be available in colors that will complement the present decorating scheme.
   b. Because the office has no walls, the filing equipment must be able to serve as work area dividers.
   c. Several employees will need access to the files at the same time; therefore, the equipment should be accessible from more than one side.
   d. Some of the most valuable records must be stored in specially reinforced fire-resistant equipment.
   e. Space conservation is a major concern for the files that are used infrequently but which must still be maintained in an easily accessible location.

RESOURCE SHEET 3

Activity 3

Records Retention Timetable

TYPE OF RECORD	RETENTION PERIOD YEARS	AUTHORITY
ACCOUNTING & FISCAL		
Accounts Payable Invoices	3	ASPR-STATE, FLSA
Accounts Payable Ledger	P	AD
Accounts Receivable Invoices & Ledgers	5	AD
Authorizations for Accounting	SUP	AD
Balance Sheets	P	AD
Bank Deposits	3	AD
Bank Statements	3	AD
Bonds	P	AD
Budgets	3	AD
Capital Asset Record	3*	AD
Cash Receipt Records	7	AD
Check Register	P	AD
Checks, Dividend	6	
Checks, Payroll	2	FLSA, STATE
Checks, Voucher	3	FLSA, STATE
Cost Accounting Records	5	AD
Earnings Register	3	FLSA, STATE
Entertainment Gifts & Gratuities	3	AD
Estimates, Projections	7	AD
Expense Reports	3	AD
Financial Statements, Certified	P	AD
Financial Statements, Periodic	2	AD
General Ledger Records	P	CFR
Labor Cost Records	3	ASPR, CFR
Magnetic Tape and Tab Cards	1**	
Note Register	P	AD
Payroll Registers	3	FLSA, STATE
Petty Cash Records	3	AD
P & L Statements	P	AD
Salesman Commission Reports	3	AD
Travel Expense Reports	3	AD
Work Papers, Rough	2	AD
ADMINISTRATIVE RECORDS		
Audit Reports	10	AD
Audit Work Papers	3	AD
Classified Documents Inventories, Reports, Receipts	10	AD
Correspondence, Executive	P	AD
Correspondence, General	5	AD
Directives from Officers	P	AD
Forms Used, File Copies	P	AD
Systems and Procedures Records	P	AD
Work Papers, Management Projects	P	AD

TYPE OF RECORD	RETENTION PERIOD YEARS	AUTHORITY
COMMUNICATIONS		
Bulletins Explaining Communications	P	AD
Messenger Records	1	AD
Phone Directories	SUP	AD
Phone Installation Records	1	AD
Postage Reports, Stamp Requisitions	1 AF	AD
Postal Records, Registered Mail & Insured Mail Logs & Meter Records	1 AF	AD, CFR
Telecommunications Copies	1	AD
CONTRACT ADMINISTRATION		
Contracts, Negotiated. Bailments, Changes, Specifications, Procedures, Correspondence	P	CFR
Customer Reports	P	AD
Materials Relating to Distribution Revisions, Forms, and Format of Reports	P	AD
Work Papers	OBS	AD
CORPORATE		
Annual Reports	P	AD
Authority to Issue Securities	P	AD
Bonds, Surety	3 AE	AD
Capital Stock Ledger	P	AD
Charters, Constitutions, Bylaws	P	AD
Contracts	20 AT	AD
Corporate Election Records	P	AD
Incorporation Records	P	AD
Licenses - Federal, State, Local	AT	AD
Stock Transfer & Stockholder	P	AD
LEGAL		
Claims and Litigation Concerning Torts and Breach of Contracts	P	AD
Law Records - Federal, State, Local	CUP	AD
Patents and Related Material	[illegible]	AD
Trademark & Copyrights	P	AD
LIBRARY, COMPANY		
Accession Lists	P	AD
Copies of Requests for Materials	6 mos.	AD
Meeting Calendars	P	AD
Research Papers, Abstracts, Bibliographies	SUP, 6 mos. AC	AD
MANUFACTURING		
Bills of Material	2	AD, ASPR
Drafting Records	P	AD†
Drawings	2	AD, ASPR
Inspection Records	2	AD
Lab Test Reports	P	AD
Memos, Production	AC	AD
Product, Tooling, Design, Engineering Research, Experiment & Specs Records	20	STATUE LIMITATIONS
Production Reports	3	AD
Quality Reports	1 AC	AD
Reliability Records	P	AD
Stock Issuing Records	3 AT	AD, ASPR
Tool Control	3 AT	AD, ASPR
Work Orders	3	AD
Work Status Reports	AC	AD

LEGEND FOR AUTHORITY TO DISPOSE

AD – Administrative Decision
ASPR – Armed Services Procurement Regulation
CFR – Code of Federal Regulations
FLSA – Fair Labor Standards Act
ICC – Interstate Commerce Commission
INS – Insurance Company Regulation
ISM – Industrial Security Manual Attachment to DD Form 441

* After Disposed ** Normally

LEGEND FOR RETENTION PERIOD

AC – Dispose After Completion of Job or Contract
AE – Dispose After Expiration
AF – After End of Fiscal Year
AM – After Moving
AS – After Settlement
AT – Dispose After Termination
ATR – After Trip
OBS – Dispose When Obsolete
P – Permanent
SUP – Dispose When Superseded

† Govt. R&D Contracts

TYPE OF RECORD	RETENTION PERIOD YEARS	AUTHORITY
OFFICE SUPPLIES & SERVICES		
Inventories	1 AF	AD
Office Equipment Records	6 AF	AD
Requests for Services	1 AF	AD
Requisitions for Supplies	1 AF	AD
PERSONNEL		
Accident Reports, Injury Claims, Settlements	30 AS	CFR, INS, STATE
Applications, Changes & Terminations	5	AD, ASPR, CFR
Attendance Records	7	AD
Employee Activity Files	2 or SUP	AD
Employee Contracts	6 AT	AD
Fidelity Bonds	3 AT	AD
Garnishments	5	AD
Health & Safety Bulletins	P	AD
Injury Frequency Charts	P	CFR
Insurance Records, Employees	11 AT	INS
Job Descriptions	2 or SUP	CFR
Rating Cards	2 or SUP	CFR
Time Cards	3	AD
Training Manuals	P	AD
Union Agreements	3	WALSH HEALEY ACT
PLANT & PROPERTY RECORDS		
Depreciation Schedules	P	AD
Inventory Records	P	AD
Maintenance & Repair, Building	10	AD
Maintenance & Repair, Machinery	5	AD
Plant Account Cards, Equipment	P	CFR, AD
Property Deeds	P	AD
Purchase or Lease Records of Plant Facility	P	AD
Space Allocation Records	1 AT	AD
PRINTING & DUPLICATING		
Copies Produced, Tech. Pubs., Charts	1 or OBS	AD
Film Reports	5	AD
Negatives	5	AD
Photographs	1	AD
Production Records	1 AC	AD
PROCUREMENT, PURCHASING		
Acknowledgements	AC	AD
Bids, Awards	3 AT	CFR
Contracts	3 AT	AD
Exception Notices (GAO)	6	AD
Price Lists	OBS	AD
Purchase Orders, Requisitions	3 AT	CFR
Quotations	1	AD
PRODUCTS, SERVICES, MARKETING		
Correspondence	2	AD
Credit Ratings & Classifications	7	AD
Development Studies	P	AD
Presentations & Proposals	P	AD
Price Lists, Catalogs	OBS	AD
Prospect Lines	OBS	AD
Register of Sales Order	NO VALUE	AD
Surveys	P	AD
Work Papers, Pertaining to Projects	NO VALUE	AD

TYPE OF RECORD	RETENTION PERIOD YEARS	AUTHORITY
PUBLIC RELATIONS & ADVERTISING		
Advertising Activity Reports	5	AD
Community Affairs Records	P	AD
Contracts for Advertising	3 AT	AD
Employee Activities & Presentations	P	AD
Exhibits, Releases, Handouts	2 - 4	AD
Internal Publications	P (1 copy)	AD
Layouts	1	AD
Manuscripts	1	AD
Photos	1	AD
Public Information Activity	7	AD
Research Presentations	P	AD
Tear-Sheets	2	AD
SECURITY		
Classified Material Violations	P	AD
Courier Authorizations	1 mo. ATR	AD
Employee Clearance Lists	SUP	ISM
Employee Case Files	5	ISM
Fire Prevention Program	P	AD
Protection - Guards, Badge Lists, Protective Devices	5	AD
Subcontractor Clearances	2 AT	AD
Visitor Clearance	2	ISM
TAXATION		
Annuity or Deferred Payment Plan	P	CFR
Depreciation Schedules	P	CFR
Dividend Register	P	CFR
Employee Withholding	4	CFR
Excise Exemption Certificates	4	CFR
Excise Reports (Manufacturing)	4	CFR
Excise Reports (Retail)	4	CFR
Inventory Reports	P	CFR
Tax Bills and Statements	P	AD
Tax Returns	P	AD
TRAFFIC & TRANSPORTATION		
Aircraft Operating & Maintenance	P	CFR
Bills of Lading, Waybills	2	ICC, FLSA
Employee Travel	1 AF	AD
Freight Bills	3	ICC
Freight Claims	2	ICC
Household Moves	3 AM	AD
Motor Operating & Maintenance	2	AD
Rates and Tariffs	SUP	AD
Receiving Documents	2 - 10	AD, CFR
Shipping & Related Documents	2 - 10	AD, CFR

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ACTIVITY SHEET 1

Activity 1

Classify each of the following records as one of the following: V (vital); I (important); U (useful); N (nonessential).

		Classification
1.	Tax returns for the last five years	_____
2.	Office supply inventory records	_____
3.	Interoffice memorandums	_____
4.	Sales commission reports	_____
5.	Outdated form letters	_____
6.	Contracts for work in progress	_____
7.	Bank statements for current year	_____
8.	Accounts payable records	_____
9.	Incorporation documents	_____
10.	Accounts receivable records	_____
11.	Property deeds for investment properties	_____
12.	Audit reports from 1952	_____
13.	Trademark and copyright records	_____
14.	Employee insurance records for the current year	_____
15.	Leases on storage facilities	_____

ACTIVITY SHEET 2

Activity 2

Classify each record as one or more of the following: A (administrative); L (legal); F (fiscal); H (historical).

		Value
1.	Original patent for a welding machine	_____
2.	Legal opinions on a breach of contract case	_____
3.	Photographs of the company's original founders	_____
4.	Travel expense reports	_____
5.	Salesperson's earnings registers	_____
6.	Lease records for the main plant facility	_____
7.	Long-range plans for building expansion	_____
8.	The current year's budget	_____
9.	Legal decisions on worker's compensation claims	_____
10.	Property deeds	_____
11.	Contracts with the construction company contracted to build a new manufacturing facility	_____
12.	The depreciation schedule for all equipment	_____
13.	Copies of company catalogs in which prices and descriptions are no longer valid.	_____
14.	Employee income tax withholding forms	_____
15.	A current employee training manual	_____

ACTIVITY SHEET 3

Activity 3

Indicate the number of years each of the following records should be retained.

		Retention Period (Years)
1.	Advertising activity reports	_____
2.	Photographs (no historical value)	_____
3.	Office equipment records	_____
4.	Incorporation records	_____
5.	Copies of requests for materials	_____
6.	Licenses--federal, state, and local	_____
7.	Depreciation schedules	_____
8.	Presentations and proposals	_____
9.	Employee withholding reports	_____
10.	Audit records	_____
11.	Cost accounting records	_____
12.	Customer reports	_____
13.	Telecommunication copies	_____
14.	Expense reports	_____
15.	Annual reports	_____
16.	Telephone directories	_____
17.	Garnishments	_____
18.	Training manuals	_____
19.	Surveys	_____
20.	Tax returns	_____
21.	Purchase quotations	_____
22.	Employee attendance records	_____
23.	Petty cash records	_____
24.	Household moves	_____
25.	Bank statements	_____

ACTIVITY SHEET 4

Activity 4

Filing Equipment Comparison Report

Equipment type: _____

Equipment color: _____

Equipment price: _____

Advantages:

Disadvantages: